



ATTORNEY'S DOCKET NO: C0441/7046

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Arrowsmith et al.
Serial No: 08/412,955
Filed: March 29, 1996
For: METHOD AND APPARATUS FOR POLICY-BASED ALARM
NOTIFICATION IN A DISTRIBUTED NETWORK MANAGEMENT
ENVIRONMENT

Examiner: D. Pope
Art Unit: 2608

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Assistant Commissioner For Patents
Washington, D.C. 20231

STATEMENT FILED PURSUANT TO THE DUTY OF
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98,
the Applicant requests consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed more than three months
after the filing date of this application and after the mailing date of the first Office
Action, but before the mailing date of either a final action under 37 C.F.R. §1.113
or a Notice of Allowance under 37 C.F.R. §1.311.

1. The fee of \$230 as set forth in 37 C.F.R. §1.17(p) is enclosed.
2. The Applicant hereby certifies, as specified in 37 C.F.R. §1.97(e),
that

(check a or b below)

- a. Each item of information contained in this Information
Disclosure Statement was cited in a communication from a
foreign Patent Office in a counterpart for this application not

more than three months prior to the filing of this Statement. No fee is required.

b. [] no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart for this application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Statement. No fee is required.

PART II - Information Cited

[X] A. The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

[] B. The Applicant hereby makes the following additional information of record in the above-identified application:

[]PART III: Explanation of Non-English Language References and Remarks

Concerning Other Information Cited

The following is a concise explanation of the relevance of each non-English language reference listed on the attached form PTO-1449 (modified):

The following are remarks concerning the other information cited:

PART IV: Remarks

A copy of each of the above-identified information is enclosed unless otherwise indicated on the attached form PTO-1449 (modified). It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,

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Docket No. C0441/7046

Dated: March 31, 1997